

01. Progress in delivery of strategic outcomes

Corporate Solutions ethos is to embrace the delivery of a high performance culture focused on creativity, innovation, performance, quality and outcomes. Ensuring that services are of the highest quality and meet Elected Member and public aspirations, whilst achieving Best Value and making the best use of resources.

The service, encompassing Finance, Human Resources, Employment and Reward, Legal, Procurement, Customer Services and Libraries, Revenues, Digital, Business Services and Communications, has a strategic focus on the delivery of the Midlothian route map for recovery through and out of the pandemic.

The teams are supporting the recovery and the retention of the best elements of transformation that took place in response to the pandemic and also securing permanent changes to the way the Council delivers its services in order to build back better. This approach is based on the creation of a wellbeing economy and it is designed to achieve wellbeing and fairness for our people and the rest of nature. The redesign of services and the changes to build back better are predicated on the overarching principle in delivering services, whether commissioned internally or externally, that we will keep our communities, our employees and our environment safe, minimising exposure to Covid-19, or any other viruses, at the same time as meeting our commitment to being carbon neutral by 2030.

The vast majority of tasks undertaken by Corporate Solutions staff have remained similar to pre-covid times with staff across the teams undertaking a range of additional work, to directly support the Council's response to the pandemic, to facilitate the rapid deployment of remote working and to undertake a range of additional activity including for example provide a range of guidance to employees, the rapid assessment of the financial impact of the pandemic on Council services and importantly providing a central point of contact for citizens as part of The Kindness @ Midlothian campaign.

At the onset of the pandemic it was recognised that the swift shift to remote working, coupled with an increasing range of expenditure pressures in services would require changes which not only needed to be implemented swiftly but which also required to comply with the Council financial regulations framework and give assurance that the internal control framework was being maintained. Accordingly an overview of the Financial Governance arrangements that would be of most relevance during the pandemic was provided to Corporate Incident Management Team (CIMT) in April 2020 and subsequently presented to the Group Leaders meeting. These arrangements were designed to; Support the maintenance of strong and effective financial control; Provide effective financial oversight; Allow for both efficiency and completeness in determining the financial impact on the Council; Supporting the development of effective mitigation to maintain financial sustainability; Supporting reporting and or lobbying for additional funding from Scottish Government; and aid the recovery phase.

In line with the route map at the end of the lockdown phase, we were able to begin reopening of stand-alone libraries, with Dalkeith, Newtongrange and Penicuik now open and with a revised mobile library service helping to service our communities where libraries remain closed to the public. We have also set out a range of quick and easy ways to pay Council Tax and House Rents. Highlighting that it is now easier than ever to pay both and saving our customers the time and trouble of making unwanted journeys or waiting in a queue.

Building on our nine drivers for change, the Service has a particular focus on the key elements of the route map encompassing the delivery and acceleration of the Capital Programme, delivering digital by default and remote working.

These elements of the Midlothian route map for recovery through and out of the pandemic are also captured in the recommendations from the NESTA Listen and Learn Report and having embraced both the Corporate Solutions teams have a key role in progressing the following strands of work

- **Valuing Communities:-** Being well together, using social media to engage with communities; meaningful local engagement, strengthen and build upon emerging ties with communities and work in partnership to deliver local, Place based services.
- **Remote/Flexible Working:-** Local and flexible placed based working; working smarter; sustainable futures; and a tailored approach.
- **Digital First:-** Access to wifi; technical capability; making things easier; digital by default.

The key activity which underpins this work and which the service is focused on includes:-

- Securing the financial sustainability and maintaining strong financial management across the Council through the delivery of the Council's Medium Term Financial Strategy (MTFS) incorporating Capital Strategy and Capital Investment plans, Reserves Strategy and Treasury Management Strategy;
- Nurturing a highly motivated and effective workforce through the delivery of the Workforce Strategy and the development of Service Workforce Plans;
- Digital first and embracing data insight and analytics by developing and implementing a refreshed Digital Strategy and Digital Learning Strategy;
- A refresh of the Customer Services Strategy and implementation of the online payments and services (OPAS) platform;
- A refreshed Procurement Strategy and Contract Delivery Plan.

Whilst remote working has brought a range of new challenges it has also by necessity brought about the accelerated adoption of a range of business tools and systems developments which are supporting our staff to effectively continue to deliver services. These developments also providing an effective and efficient means to progress and monitor work and teams performance. The adoption of electronic workflows for example has removed reliance on paper and wet signatures and provides an electronic record of what has been carried out by whom and when. Managers and colleagues are using all of the new technology available to them to maintain contact with colleagues, work collaboratively to deliver outcomes and to support colleagues continued personal development and learning.

Growing Council

Midlothian is projected to have the highest percentage change in population size of all council areas in Scotland. Between 2018 to 2028, the population of Midlothian is projected to increase from 91,340 to 103,945. This is an increase of 13.8%, which is on contrast to a projected increase of 1.8% for Scotland as a whole.

This brings the opportunity to support the Council vision of being 'A Great Place to Grow'. The opportunity to redevelop parts of Midlothian, improve infrastructure with a focus on area targeting, improving economic opportunities, improving education and health outcomes.

This growth creates the opportunity to meet the housing need with 25% of new homes being built in the affordable housing bracket, in addition to the expansion in Council House building. This construction will directly support employment in construction and will see a steady increase in the value of Council Tax received over time.

The approved, Capital Strategy sets out infrastructure required to meet those demographic pressures and includes the financial contributions Midlothian will make to the Edinburgh and South East Scotland City Region Deal.

The extent of the population growth brings with it specific funding challenges and a key element of securing continued financial sustainability will be to secure a fair funding deal for the Council and its community planning partners. Securing a funding settlement from government which recognises and supports growth, growth which is central to the Scottish economy as a whole.

1: Medium Term Financial Strategy

The core objective of the MTFS is to secure the Council's financial sustainability during an ongoing period of financial constraint coupled with acute service demand pressures and increasing customer expectations.

The MTFS is not only about balancing the budgets, it provides a means to ensure as far as possible that the limited resources available to the Council are targeted on delivery of improved outcomes, particularly against the key priorities of:-

- Reducing the gap in learning outcomes
- Reducing the gap in health outcomes
- Reducing the gap in economic circumstances

The MTFS is central to ensuring that the resources available to the Council is directed towards the priorities set out in the Midlothian Single Plan.

Achievements

- a) Against the backdrop of COVID 19 successful completion of the draft audited accounts for 2019/20 with an unqualified opinion and some very positive auditor comment;
- b) Completion of the full suite of 2019/20 Financial Monitoring reports for Council in August 2020 as part of the robust scrutiny of financial performance, and which included an updated assessment of the financial impact of Covid on the Council;
- c) Securing a green rating for financial management as detailed in EY's 2019/20 annual report;

- d) Finalisation of the strategic review of the Loans Fund which provides the Council with the option of a corporate solution to the remaining years of the MTFs;
- e) The development of a corporate solution to secure financial balance for 2021/22 and 2022/23 which was presented to BTB on 7 October 2020 and which was unanimously endorsed by BTSG on 26 October 2020 and will be presented to Council in December 2020;
- f) Maintaining financial governance and internal control despite the overnight shift to remote working. Removing reliance on wet signatures and imbedding controls within workflows as detailed in a report to CMT on 14 October 2020;
- g) Maintaining Council Tax collection rates and administration of SWF and a range of Covid grant schemes.

2: Workforce Strategy

The purpose of the Workforce Strategy is in essence quite simple, but nevertheless of critical importance, and will ensure that the Council continues to have a workforce that is able to deliver positive outcomes for the people of Midlothian. It sets out an approach to supporting, developing and reshaping the workforce now and in the future in response to changes whether as a consequence of national or local issues. It is underpinned by the Council's values and vision.

The Workforce Strategy is important as it outlines the organisation's approach to articulating how workforce issues will be managed to ensure the Council has the people and skills to manage change and deliver service. The strategy will ensure we have the right people at the right time and who have the right skills, knowledge and attitude to provide services confidently and competently.

Achievements

- a) In very rapid response to the COVID-19 pandemic, remote working was swiftly adopted and subsequently a Remote Working Policy has been endorsed by CMT which will support the continuation of remote working through and out of the pandemic. Successful deployment of scores of existing staff to posts into frontline services in response to the Council's first responder status;
- b) Continuation of a rolling programme of Wellness@Midlothian initiatives to ensure we continue to support the wellbeing of our staff during these difficult times;
- c) Significant number of detailed communications issued to both staff and managers in terms of updates, directives, and most importantly supports available during the COVID emergency;
- d) Facilitation of the sustainable and safe return to work of over 150 staff previously on COVID-19 paid special leave due to underlying health condition;
- e) Continuation of robust and collegiate relations with our trade union colleagues;
- f) Successful joint working with Nesta on the 'Listen and Learn' report continuing to ensure staff engagement continues to be a priority particularly during and out of the COVID crisis;
- g) Implementation of an all-staff engagement survey to measure current engagement levels and ensure tailored interventions are implemented via service-level action plans, in response;
- h) Successful re-tendering for Physiotherapy Service to ensure our staff continue to receive the highest quality of care.

3: Digital Strategy and Digital Learning Strategy

The current Digital Strategy has provided ICT infrastructure and facilities that have supported the rapid transition to new ways of working demonstrating that they effectively and efficiently underpin delivery of Council Services and align with the Single Midlothian Plan and the National ICT Strategy for Scotland.

Midlothian's current Digital Learning Strategy is central to the Council's aim of delivering a world-class education system. It is closely aligned with Scottish Government's policy and advice on digital learning and it also articulates with key national and local priorities.

Embracing the Digital First strand of the Nesta report presents an ideal opportunity to refresh the Council's Digital Strategy. This refreshed digital strategy will support the Council's stated objectives in both the route map and Nesta recommendations and will also embrace the opportunities to embrace the power of data insight and data analytics to support service redesign and the implementation of preventative interventions. As such the Council is entering an exciting phase where it can not only continue to embrace use of digital technologies in the workplace and schools but also harness the power of the data it collects to drive innovative and forward looking service redesign for the benefit of all citizens.

Achievements

- a) Significant achievement by in the response and deployment of a range of digital solutions and technologies to support the pandemic response. Implemented a number of transformational projects Council wide (migrated 2,200 user mail accounts, implemented MS Teams, deployed in excess of 500 hundred digital and mobile devices (Laptops, Smartphones and Tablets). Delivered a range of digital solutions that allowed users to work remotely with access to Council applications and services;

- b) Continuous improvements and changes to Customer and Contact Centre operation to improve Council response and services and to swiftly shift to a remote Contact Centre operating model:- Phase 3 – Implemented and redesigned the Scottish Welfare Fund – now live. Phase 4 - Deployment of payment capabilities for Council services via remote working solution;
- c) Provided a totally different model of support for staff who are working remotely and who needed access to critical Council services along with maintaining business critical systems and applications with the Corporate and Education environment.
- d) Digital enabled projects: a number of new business applications have been implemented and these continue to improve the overall digital end user customer experience e.g. Planning, Building Standards, Environmental Health and Trading Standards along with associated public registers and Social Work application has just been successfully migrated to software as a service;
- e) CyberSecurity resilience: number of improvements made to the Council Cyber defences implemented enhancements to firewalls and the regular review and maintenance of ongoing threats and risks. Implement Scottish Government CyberSecurity action plan. Compliance: Preparation and planning of for PSN accreditation – certification now confirmed until April 2021.

4: Customer Services Strategy

The Customer Service Strategy defines the key drivers that will enable Midlothian Council to deliver 'customer service excellence' to our communities. It outlines the commitment to provide choice to the customer in the way services are accessed and provided. This includes innovation, partnership working and optimising the use of technology within resource constraints. The Strategy will help us to change the way we deliver services utilising the latest technologies and linking to national frameworks.

As one of the fastest growing areas in Scotland, the Council cannot support more customers using the current resources, systems and processes. This means that the adoption of digital and automated processes will be key to continuing to provide a seamless customer journey, satisfying enquiries at the first point of contact and meeting increased demand.

Customer self-service and new automated processes can help deliver some key services without customers dealing directly with a member of staff and could truly transform the way the Council deliver services. We already have a well-managed public facing website with SOCITM awarding our site four stars. Midlothian is one of only four Councils in Scotland to achieve this accolade. Our Web Team, 50 Content Editors and Council employees, generally 'get it' and already we have been able to transform how our customers interact with the Council. During 2020/21, increasing the pace of digital transformation, particularly in front-facing customer services, will be a service and corporate priority, for Midlothian Council – one that can deliver the required efficiencies without negatively affecting customer experience.

Achievements

- a) Working closely with colleagues in the Revenues Team amongst others, service re-design of the Scottish Welfare Fund resulted in an online form being launched to provide greater options for applicants and help those facing in-work poverty;
- b) The Customer Services Platform (OPAS) has been approved and contractual discussions are continuing;
- c) The extended Contact Centre staff continue to provide support for core Contact Centre calls in addition to kindness and shielding calls;
- d) Libraries have provided online services throughout the summer and worked closely with colleagues in Education to promote eBooks, eAudiobooks and eComics to families provided with Council Chromebooks. The Summer Reading Challenge was run online and Midlothian recorded the 6th greatest number of children who interacted with the challenge and the 7th greatest number of children who completed the challenge. Two library branches have re-opened offering Reserve and Collect, a returns service, PC access along with NEC enquiries amongst other things;
- e) Registrars have maintained service and have provided assistance to Edinburgh and East Lothian colleagues for birth registrations.

Procurement Strategy

The procurement function has a central role in supporting the Council to achieve its strategic priorities within a constrained financial envelope. Procurement allows the Council to use its spending power to drive our key strategic priorities and to secure the best possible value and outcomes for Midlothian. Effective procurement can maximise the value of every pound spent in terms of jobs, skills and supply chain opportunities in the local community. We will aim to address economic, social and environmental considerations at all stages of the procurement cycle within the rules of open, fair and transparent competition.

The procurement team in conjunction with Economic Development are working to develop an SME Strategy to support and assist local businesses to win contracts fairly and transparently on a competitive market. We will further develop our collaborative and commercial relationships with key partners as part of our strategic category management approach, to deliver the best possible outcomes for the citizens of Midlothian.

The team has utilised framework agreements with Scotland Excel and Procurement for Housing (amongst others) which not only provides an easier route to market but also delivers value for money. The Procurement team is currently working with Scotland Excel to review the service to ensure it remains fit for purpose. We have also explored with neighbouring Council's albeit with limited success opportunities to collaborate on the joint delivery of procurement services and so will continue to engage with Scotland Excel to help support service development.

Achievements

- a) High value contracts awarded, including:
 - Domestic Gas Inspection services
 - Residual Waste and associated services
 - Morris Road Housing Construction
 - Architectural Services, High Street, Bonnyrigg
 - Semi-permanent street barrier systems
 - Various vehicles purchased through Scotland Excel
 - Passive House Certifier contracts awarded for Polton Street and Newbattle new build housing projects
 - Perimeter fencing at Cornbank Primary School and Hawthorn Children's Centre
 - Northburn Culvert repairs
- b) Roll out of Cenefits system to assist the Council in obtaining community benefits from contracts;
- c) Hosted meet the buyer events held remotely;
- d) Roll out of contract variations for all National Care Home Providers contracts;
- e) Worked to protect the supply chain and ensured Council was able to access necessary items during the COVID 19 pandemic.

5: Other Service Improvements

- a) In response to COVID-19 pandemic BACS payments issued for Free School Meals, Self Employed Grants, Bed & Breakfasts and Transition Fund for Nurseries;
- b) Successful implementation for the electronic submission and payment of Gas Safety Inspection invoices and associated Gas Safety Certificates;
- c) Total Repairs upgrade completed including the replace of TotalMobile services completed in conjunction with Digital Services;
- d) Upgrade to Kirona DRS (BMS appointments software) completed.

02. Challenges and Risks

The most significant challenge facing all services is continued impact of and response to the COVID 19 pandemic. This has presented new and unique challenges through the first half of the year and continues to bring new challenges into quarter three.

Financial Sustainability

Given the divergence from budget as a result of the pandemic the expectation of continuing challenging grant settlements representing a real terms reduction in core funding together with the impact of a rapidly growing population and greater demand for services, the Council will need to maintain a focus on securing a sustainable and deliverable Medium Term Financial Strategy. Delivery of service redesign and savings is key and this needs to continue to be monitored closely through the Business Transformation Board and Steering Group and through the dedicated CMT Financial Monitoring arrangements. Values attached to proposals in the MTFS were reviewed further to ensure they sat correctly within a detailed delivery plan which was reflected in the final 2020/21 budget recognising that it is important for the Council that the measures in the MTFS are fully developed (where necessary) at pace and also proceed to implementation at pace.

As touched on earlier a corporate solution to securing financial balance for the 2021/22 and 2022/23 budgets, the two remaining budgets which fall within the term of this Council, was considered by BTSG on 26 October 2020. The adoption of a corporate solution will avoid the need for service cuts at an already challenging time and will in turn enable the leadership team to develop a MTFS for consideration by the next term of Council after the 2022 local government elections.

UK Decision to leave the EU

All Council services have been kept abreast of the risks associated with the UK leaving the EU and in particular the risks for a no deal scenario. Services have been directed towards UK Government guidance on how to prepare for a no deal and have been tasked with assessing the potential impact and identifying appropriate risk responses. A Council Cross Service Brexit Working Group is in place and is directing preparation for a potential No Deal exit from the European Union.

1: Medium Term Financial Strategy

The need to continue to strengthen financial sustainability and financial management by:

- a) Continue work on developing cost projections and the corporate solution to achieve financial balance for the remaining period of the Medium Term Financial Strategy;
- b) Prepare financial monitoring reports for Q2 reflecting the impact of COVID 19 on the Council's finances and continue to work with budget holders to maintain effective control over expenditure and with Chief Officers to develop plans which address and mitigate against overspends;
- c) Mitigating the financial impact of COVID 19 and securing further financial support from Scottish Government and the application of financial flexibilities as part of the MTFS;
- d) Continued financial support for the range of service redesign and change programmes and delivery of savings measures. Help shape and lead all strands of the programme, continue to revise savings profiles. Oversight of investment to support transformational change;
- e) Review of the Capital Strategy and the affordability of investment plans principally to reflect the ongoing review of the Learning Estate Strategy and recognising the role our investment plans have in supporting economic recovery;
- f) Continue to strengthen financial stewardship in a climate of reducing budgets and increasing service pressure;
- g) Review and update financial directives and associated documentation;
- h) To ensure that the Capital Plan and Asset Management Board provides adequate scrutiny and oversight of capital projects to ensure projects are delivered as planned and so, minimise reported slippage in the capital plan;
- i) In partnership with colleagues in Place and Education secure funding support for the Learning Estate Strategy from the Phase 2 awards from the LEIP;
- j) The additional pressures presented by Welfare Reform are monitored in relation to income disruption to housing rent payments and Council Tax Reduction scheme, evident in increased arrears and increased demand for crisis grants from the Scottish Welfare Fund. DWP introduced a number of Covid-19 measures in April 2020, including an increase in Universal Credit and Tax Credit payments of £20 per week and increasing Local Housing Allowance (LHA) rates for private tenants to the 30th percentile measures (previously 50th percentile);
- k) DWP commenced the move to Universal Credit (UC) pilot scheme in Harrogate in July 2019 and state that the pilot will end in 2020, with full migration to be achieved by the end of 2023. Due to the impacts of the coronavirus outbreak across the UK from March 2020, work on the pilot is suspended until further notice. From November 2020, it had been expected that more people would be moved across to UC through the managed migration process until completion. In early 2020, the expected completion of the full move over to UC was put back from December 2023 to a revised completion date of September 2024. There has been no update on these dates from DWP due to the impacts of the coronavirus outbreak, as staff were diverted to deal with the large increase in Universal Credit claims with 1.5 million claims made between 13 March and 9 April, six times more than in the same period last year;
- l) The number of Midlothian Council tenants receiving UC housing costs increased from 1600 in March 2020 to 1,960 in September 2020. During the migration period the accurate and secure administration of Housing Benefit remains with Midlothian Council Revenues Services as required service provision for citizens across Midlothian. Demand and budget expenditure will continue to be monitored and priorities updated, if required, in relation to the number of applications received to the Scottish Welfare Fund.

2: Workforce Strategy

Alongside the Medium Term Financial Strategy 2020/21 to 2022/3 we will continue to implement the Workforce Strategy 2017-2022. This includes a focus on the identified themes over the next five years. The Service Workforce Plans will need to be updated to align to the MTFS, the new leadership structure and detail the projected workforce actions over the medium term.

- a) Identifying alternative service delivery approaches and the impact on service delivery with pressure on available resource;
- b) Securing the improvement in flexibility and productivity throughout the workforce;
- c) Continued development of the Workforce Strategy action plan;
- d) In light of the implementation of the senior leadership review revisions to the F&ISS workforce plan are no longer appropriate. A new service workforce plan and associated actions will be required for Corporate Solutions which also reflects the Medium Term financial Strategy (MTFS);
- e) Continue to support our leadership community so that they are able to perform to a high standard and deliver on the Change Programme adopting the route map and NESTA principles, particularly challenging in the new context we find ourselves working within;
- f) Ensuring the adoption of the principles of the new Remote Working Policy to support the Council's position of 'remote working by default';
- g) Absence levels are increasing as a direct result of COVID-19 and increased support is required in service areas with high or increasing absence levels to deliver interventions to support their service workforce strategies and;
- h) Staff absence due to COVID-related absence continues to pose a significant risk to service delivery.

3: Digital Strategy and Digital Learning Strategy

a) Progressing the refresh of these strategies and ensuring the Council has the capacity and skills to take forward the associated investment and delivery plans. We have engaged SOCITIM Advisory to support this work. SOCITIM bring a welcome external perspective and challenge;

- b) Pursuing the transformation of and innovation in service delivery by pursuing digital opportunities, including automation, artificial intelligence and Introduction of new ways of working supported by modern technology solutions etc;
- c) The pandemic response has changed a large part of Midlothian's digital foundation and how Council staff and citizens now use Council services as a result. There is still work to be done to ensure the changes that were made at speed to underlying business applications, technologies and processes are reviewed and consolidated to ensure wider stability and resilience can be maintained. Remote workforce also introduces different security, compliance and support challenges;
- d) Increased threat of cyber/security attacks, e.g. denial of service, ransomware/hackers is heightened at this time and is an ongoing challenge to mitigate risk and minimise service disruption;
- e) Maintaining the integrity and compliance of Public Services Network (PSN) ensuring that the digital estate and associated technologies inclusive of business applications are all up to date and pass rigorous penetration testing is ongoing;
- f) Ensuring sustainable investment in digital foundations and assets at a time of financial constraints to allow delivery of the Asset Management Programme:- Microsoft Exchange/Office 365 / Windows 10 upgrade which is currently in the preparation and planning stage;
- g) Regulatory changes proposed will impact on Council activities if not planned for – for example New Data Protection laws (GDPR) and other compliance requirements such as Payment Card Industry Data Security Standard (PCI-DSS).

4. Customer Services Strategy

- a) The resumption of services, sometimes working in a different way than before has led to additional work and pressure for the Contact Centre to respond to;
- b) Although there are still redeployed staff providing support they will return to their original services in time and there is an increased workload overall.

5. Procurement

- a) Completing and implementing a review of the procurement arrangements across the Council including continuing to explore options for joint working with neighbouring councils;
- b) Completion of the Annual Procurement report;
- c) To deliver and demonstrate savings through procurement by continuing to review and monitor performance;
- d) Completing the Purchase to Pay project;
- e) As the next stage of the Council's procurement journey, and similar to most other councils the aim is to deliver a robust contract and supplier management tool by rolling out guidance and training to contract owners.

6. Business Services

- a) Continuing to change the way we work to sustain remote working and minimise the requirement for office based working;
- b) Migration of processes which are still predominately paper based to electronic solutions.

Emerging Challenges:

The emerging challenge is addressing the financial impact of COVID 19 on the Council and as part of that to increase the pace in which change, improvement and transformation is being delivered. Ensuring that there is clarity on priorities and that strategic outcomes are clearly defined and articulated. Maintaining forward momentum amid a period of fundamental change and focusing resources on the delivery of the route map through and out of the pandemic and delivering on **Valuing Communities, Remote/Flexible Working and Digital First**.

Having secured the unanimous endorsement of BTSG for the corporate solution to the remaining years of the MTFs to set out updated budget projections to Council in December 2020 and secure Councils agreement to the corporate solution recommended by BTSG for 2021/22 and 2022/23 budgets.

Corporate Solutions

Successes and Challenges





Corporate Performance Indicators (latest)

 5
  7
  0
  7


Service Plan Actions (latest)

 0
  14
  0


Service Plan PIs (latest)

 2
  2
  0
  5

Service Risks (latest)

 17

Corporate PIs Off Target

PIs  5

% of internal/external audit actions progressing on target or complete this quarter.


% of Service PIs that are on target/ have reached their target. (does not include Corporate PIs)

Average time in working days to respond to complaints at stage 1

Percentage of complaints at stage 1 complete within 5 working days


% of invoices paid within 30 days of invoice receipt (cumulative)

Service Plan Actions Off Target

Actions  0

All Actions are On Target

Service Plan PIs Off Target

PIs  2

Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)




All recovery overpayments - as a % of all HB overpayment debt

High Risks


Risks  0


There are no High Risks

- Key
-  Off Target
 -  On Target
 - PIs  Data Only
 -  Data Not Yet Available


- Key
-  Off Target
 - Actions  On Target/Complete
 -  Data Not Yet Available

- Key
-  Off Target
 - PIs  On Target
 -  Data Only
 -  Data Not Yet Available

- Key
-  High Risk/Medium Risk
 - Risks  Data Not Yet Available

	include Corporate PIs)					no debt recovery has taken place over the last two quarters.				
06. Control Risk	% of high risks that have been reviewed in the last quarter			100%		Q2 20/21: No high risk identified. All other risks have been reviewed and controls in place.	100%	Number of high risks reviewed in the last quarter	0	
								Number of high risks	0	













3. Improving for the Future

Priorities	Indicator	Q2 2019/20	2019/20	Q2 2020/21			Annual Target 2020/21	Feeder Data	Value
		Value	Value	Value	Status	Note			
07. Implement Improvement Plans	% of internal/external audit actions progressing on target or complete this quarter.							Number of internal/external audit actions on target or complete	29
				74.36 %		<p>Q2 20/21: Off Target</p> <p>Over the first half of the financial year much of the available resource has been diverted to responding to COVID 19. As such a number of audit actions which had been progressing well and were nearing completion were delayed. In respect of the ten that are indicated to be off target:</p> <p>One, in relation to staff debt, is scheduled to be finalised during November 2020.</p> <p>Two, which relate to the issue of feeders systems, have been progressed with a recommendation that they are now replaced with specific actions in respect of the main risk areas relating to Building maintenance, Roads maintenance and Waste Disposal.</p> <p>Three are in respect of Procurement. These have been delayed as a consequence of the pandemic and the prioritisation of joint working on digital service delivery. These are now being prioritised with support provided by Scotland Excel.</p> <p>Four continue to be delayed by Covid pressures and extensions requested to end of the calendar year. These include an action in respect of the service workforce plan . This can now be progressed on back of the completion of the service plan. Three in respect of systems documentation and</p>	90%	Number of internal/external audit actions	39

					proceeds which in any event have been adapted as we have responded to the pandemic.				
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Corporate Solutions Complaints Indicator Summary

Commitment to valuing Complaints

Indicator	Q2 2019/20	2019/20	Q2 2020/21			Annual Target 2020/21
	Value	Value	Value	Status	Note	
Number of complaints partially upheld (quarterly)			2		Q2 20/21: Data only	
Number of complaints not upheld (quarterly)			7		Q2 20/21: Data only	
Number of complaints received (quarterly)			21		Q2 20/21: Data only	
Number of complaints closed in the year			16		Q2 20/21: Data only	
Number of complaints upheld (quarterly)			7		Q2 20/21: Data only	
Average time in working days to respond to complaints at stage 1			6.6		Q2 20/21: Off Target More focus will be spent on complaints analysis during Q3 to bring this back on target.	5
Average time in working days to respond to complaints at stage 2			17		Q2 20/21: On Target	20
Average time in working days for a full response for escalated complaints			0		Q2 20/21: There were no Escalated Complaints.	20
Percentage of complaints at stage 1 complete within 5 working days			86.67%		Q2 20/21: Off Target More focus will be spent on complaints analysis during Q3 to bring this back on target.	95%
Percentage of complaints at stage 2 complete within 20 working days			100%		Q2 20/21: On Target	95%
Percentage of complaints escalated and complete within 20 working days			100%		Q2 20/21: There were no Escalated Complaints.	95%
Number of complaints where an extension to the 5 or 20 day target has been authorised (quarterly)			0		Q2 20/21: Data only	

Corporate Solutions Action Report




01. Through the Customer Service Strategy deliver 'customer service excellence' to our communities. Provide choice to the customer in the way services are accessed/provided by adopting digital and automated processes to provide a seamless customer journey




Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.1.1	Refresh and develop the Customer Services Strategy	31-Mar-2021		25%	Q2 20/21: On Target Initial work has begun to refresh the customer services strategy. Further scoping and work to be carried out. The Customer Services Platform was approved by council In August, this will drive customer self service and new automated processes to transform the way we deliver council services and build upon the positive lessons learned as a result of COVID. The refresh of the strategy and replacement of the customer service platform will provide a foundation on which to build the digital first approach to customer service and customer access to Council services.
CORPS.P.1.2	Achieve the milestones in the Online Payments and Services Platform Implementation plan (OPAS)	31-Mar-2021		50%	Q2 20/21: On Target Contractual arrangements being finalised and implementation phase will commence in quarter 3.
CORPS.P.1.4	Support financially vulnerable households in mitigating Welfare Reform impact, award Scottish Welfare Fund monies in line with criteria set for crisis grants and community care grants to meet the needs of vulnerable claimants.	31-Mar-2021		50%	Q2 20/21: On Target We have awarded £218,502 to 30 September 2020. £69,792 community care grants and £148,710 crisis grants within budget allocation for year to date. We have also launched an online SWF application which again provides a digital first approach for citizens to utilise and where applications can be submitted on a 24/7 basis.

02. Through the Digital Strategy deliver innovative business performance in Corporate Solutions strategies and plans





Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.2.1	Refresh the Digital Strategy	31-Mar-2021		25%	Q2 20/21: On Target Work has commenced with the support of SOCITIM to bring forward a refresh of the digital strategy which supports the adoption for a digital first approach to service redesign and provision and which will set out how the council can embrace emerging opportunities in the field of data insight and data analytics and represents an exciting opportunity to use technology to support the development of preventative interventions and to redesign services around the customer.

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.2.2	Achievement of the milestones in the Digital Strategy	31-Mar-2021		50%	Q2 20/21: On Target The Implementation of the Digital strategy, a continuous activity and whilst the Covid19 Pandemic impacted on a number of programme activities and required the reprioritisation of work and the adoption of new work packages these remained within the overall scope of the Digital strategy. The new agreed priorities will be reflected in the refreshed Digital strategy with an agreed programme of work and supporting action plan.



03. Maintain and strengthen Financial Sustainability

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.3.1	Support continued development and delivery of the Medium Term Financial Strategy, which will enable sustainable financial planning.	31-Mar-2021		50%	Q2 20/21: On Target An updated Medium Term Financial Strategy was approved by Council on the 11th of February 2020 including approval of measures to balance the 20/21 budget. Further updates on MTFS are scheduled for Q3 and Q4 of 20/21.
CORPS.P.3.2	Completion of the unaudited Statutory Accounts for 2019/20 to ensure that we maintain strong financial management and stewardship and address the actions set out in previous external audit reports	31-Mar-2021		100%	Q2 20/21: Complete Unaudited accounts complete within statutory timescales and draft audited accounts completed during Q2.
CORPS.P.3.3	Deliver quarterly financial reports and commentary to Council	31-Mar-2021		50%	Q2 20/21: On Target Financial performance against budget for 20/21 was reported to Council in August with further updates scheduled for November, February and June.





04. Through the workforce Strategy and associated plans, promote a culture of collaboration, co-operation, partnership, innovation and empowerment to support the re-imagining of future service delivery

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.4.1	Deliver the Wellness@Midlothian agenda to support our employees to look after their mental and physical health through and out the COVID 19 crisis	31-Mar-2021		50%	Q2 20/21: On Target The wellness@midlothian agenda is gathering speed with a wealth of interventions underway and more planned over the next quarter.
CORPS.P.4.2	Deliver actions set out in the Workforce Strategy	31-Mar-2021		50%	Q2 20/21: On Target Work continues to deliver against the actions set out in the strategy.
CORPS.P.4.3	Delivery of LGW & Teachers Payrolls ensuring compliance with relevant, statutory and legislative provisions.	31-Mar-2021		50%	Q2 20/21: On Target Successful delivery of payrolls for Q1 and Q2.
CORPS.P.4.4	Address recommendations set out in the NESTA report in order to maintain and develop positive changes to working practices as a result of COVID 19	31-Mar-2021		25%	Q2 20/21: On Target Creation of Remote Working policy to support remote working by default.





05. Ensure the Council can access the right goods and services, at the right time and right price

Code	Action	Due Date	Icon	Progress	Comment & Planned Improvement Action
CORPS.P.5.1	Refresh the Procurement Strategy and fundamentally review and reshape the Procurement Service	31-Mar-2021		25%	Q2 20/21: On Target Members of the team have met with Scotland Excel to review the structure of the Procurement Service. Documentation has also been provided to Scotland Excel to allow them to carry out a table top review. In addition, the Service has undertaken a workshop to review the category management.
CORPS.P.5.2	Deliver actions from the Procurement Strategy (2018-2023)	31-Mar-2021		50%	Q2 20/21: On Target A category management review is being carried out. Proposed contractors in specific categories are reported to and vetted by Police Scotland to combat fraud and corruption. Contracts register maintained. Meetings held regularly with colleagues across the Council to agree current and future procurements and procurement development plans to ensure best use of resources. SME Strategy being drafted. Cenefits system being introduced to ensure the Council fully exploits Community Benefits in all contracts.









01. Through the Customer Service Strategy deliver 'customer service excellence' to our communities. Provide choice to the customer in the way services are accessed/provided by adopting digital and automated processes to provide a seamless customer journey



PI Code	PI	Q2 2019/20	2019/20	Q2 2020/21				Annual Target 2020/21	Benchmark
		Value	Value	Value	Status	Short Trend	Note		
CORPS.P.1.3a	Number of virtual library visits	134,695	436,001	73,623			Q2 20/21: Data Only The criterion by which this figure is calculated has been changed, with focus now on interactions rather than views which is the reason for the reduction in figures. Q2 figures have increased from Q1 with eService figures increasing along with social media interactions.		
CORPS.P.1.4a	Total amount granted from Scottish Welfare Fund for crisis grants and community care grants	230,130	1,177,939	218,502			Q2 20/21: Data Only Awarded £218,502 to 30 September 2020. £69,792 community care grants and £148,710 crisis grants within budget allocation year to date.		

03. Maintain and strengthen Financial Sustainability

PI Code	PI	Q2 2019/20	2019/20	Q2 2020/21				Annual Target 2020/21	Benchmark
		Value	Value	Value	Status	Short Trend	Note		
CORPS.P.3.4a	In-year recovery of overpayments - % of all HB overpayments identified during the financial year	96%	108%	114%			Q2 20/21: On Target £216,684 recovered to 30 September 2020.	80%	
CORPS.P.3.4b	All recovery overpayments - as a % of all HB overpayment debt	10%	17%	6%			Q2 20/21: Off Target 6.03% as at 30 September 2020.	30%	

06. Local Government Benchmarking Framework


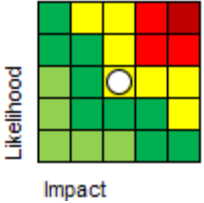

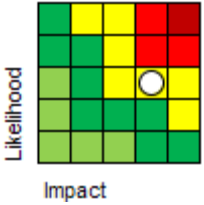
PI Code	PI	Q2 2019/20	2019/20	Q2 2020/21			Annual Target 2020/21	Benchmark
		Value	Value	Value	Status	Short Trend		
CORP3b	Corporate Indicator - The Percentage of council employees in top 5% of earners that are women (LGBF)	50.3%	51.0%	53.9%			50.0%	18/19 Rank 27 (Bottom Quartile) 17/18 Rank 25 (Bottom Quartile). 16/17 Rank 26 (Bottom Quartile). 15/16 Rank 29 (Bottom Quartile). 14/15 Rank 25 (Bottom Quartile).
CORP3c	Corporate Indicator - The gender pay gap between average hourly rate of pay for male and female - all council employees (LGBF)	3.08%	3.06%	2.46%				18/19 Rank 18 (Third Quartile) 17/18 Rank 14 (Second Quartile). 16/17 Rank 14 (Second Quartile). 15/16 Rank 18 (Third Quartile)
CORP6a	Corporate Indicator - Teachers Sickness Absence Days (LGBF)	0.78 days	5.80 days	1.21 days				18/19 Rank 5 (TOP Quartile) 17/18 Rank 4 (TOP Quartile). 16/17 Rank 3 (Top Quartile). 15/16 Rank 1 (TOP Quartile). 14/15 Rank 6 (Top Quartile).
CORP6b	Corporate Indicator - Local Government Employees (except teachers) sickness absence days (LGBF)	2.66 days	11.19 days	3.55 days				18/19 Rank 4 (TOP Quartile) 17/18 Rank 2 (TOP Quartile). 16/17 Rank 7 (Top Quartile). 15/16 Rank 10 (Second


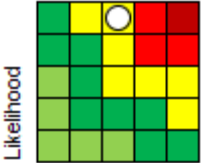

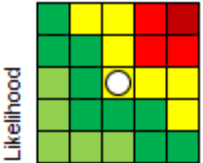
PI Code	PI	Q2 2019/20	2019/20	Q2 2020/21				Annual Target 2020/21	Benchmark
		Value	Value	Value	Status	Short Trend	Note		
							It should be noted that COVID related sickness absence or otherwise is not included in the calculation of average days lost due to sickness absence and therefore is not reflected in this figure.		Quartile). 14/15 Rank 11 (Second Quartile).
CORP8	Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)	88.8%	89.6%	94.8%			Q2 20/21: Off Target (0.1%) Improvement in the first and second quarter of 2020/21 with 95% of invoices paid within 30 days during Q1 and 94.9% during Q2.	95.0%	18/19 Rank 22 (Third Quartile) 17/18 Rank 18 (Third Quartile). 16/17 Rank 25 (Bottom Quartile). 15/16 Rank 25 (Bottom Quartile). 14/15 Rank 15 (Second Quartile).

Corporate Solutions Risks


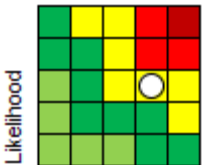


Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
CS.I.RB.01 Welfare Reform	<p>Universal Credit (UC) Live Service was introduced by DWP in Midlothian for newly unemployed single claimants, with or without housing costs, in Dalkeith and Penicuik Jobcentres from 27 April 2015.</p> <p>Universal Credit Full Service was subsequently implemented by DWP in Midlothian on 22 March 2017 for all new benefit claimants, except pension benefits, and the migration of those remaining claimants on current benefit types once the digital rollout is complete for all of UK.</p>						15
CS.RR.01 DS – School Security risks	<p>Risk Cause: unauthorised access or loss of information in schools</p> <p>Risk Event: Main risks are (1) data integrity failure in MIS applications (2) internet filter failure (3) network security within the schools' network (4) network security from outwith the schools network (5) viruses or similar attack (6) inadequate application security and (7) lack of segregated security</p>	<p>Data integrity MIS applications 01 - data integrity policy 02 - data audit procedures</p> <p>Internet Filter Failure 01 - external solution on best solution 02 - daily filter testing, 24x7 monitoring 03 - default setting on failure to no traffic 04 - support contract in place</p> <p>Network Security within 01 - security audit</p>					9


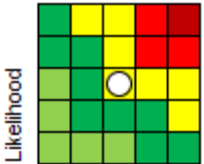

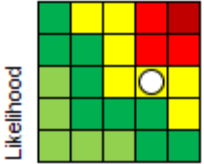
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	levels for system administrators. Risk Effect: Unintended changes to data, including malicious intent, hardware failure, viruses or similar attacks.	02 - staff training 03 - advice from consultants Network security outwith 01 - security audit 02 - staff training 03 - advice from consultants Viruses 01 - counter measures in place 02 - support contract in place with supplier 03 - system monitoring 04 - security audit Application Security 01 - security procedures implemented at school level 02 - investigate whether application can be monitored remotely then apply any appropriate Security procedures 03 - risk to be assessed further during SEEMIS implementation Segregated Security Levels 01 -					
CS.RR.01-14 GENERIC – Information Management and GDPR compliance	Risk Cause: Ineffective GDPR procedures or failure to follow GDPR procedures Risk Event: Loss of data, Data breaches Risk Effect: Reports to ICO resulting in potential fine	01 - GDPR given corporate focus and priority 02 - Divisional Information Management Group 03 - GDPR Policy 04 - Information Security Strategy 05 - GDPR mandatory training and awareness					9
CS.RR.01-22 Revenues – Council Tax & Benefits IT system to meet changing requirements in	Further work is required to available systems. Risk Cause: Non integrated systems functionality between DWP or Scottish Government or Midlothian Council	<u>The main internal controls are:-</u> 01 - New system implemented following PRINCE2 principles, ensuring stable supplier, system, reference sites etc.					12


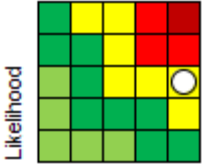
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
Welfare Reform and Local Taxation	<p>Risk Event: Data transfer delays or mismatch to requirements.</p> <p>Risk Effect: Loss of data or loss of income.</p>	<p>02 - Documented procedures for all system control activities and staff now familiar with management of the new system.</p> <p>03 - Full suite of reconciliations with other applications and third parties</p> <p>04 - Well embedded process for testing and implementation of new releases.</p> <p>05 - Procedures in place to process ATLAS changes on daily basis.</p> <p>06 - Sheriff Officer Interface with Walker Love implemented.</p>					
CS.RR.01-23 Secretariat Risks	<p>Risk Cause: Secretariat functions not carried out accurately and timeously</p> <p>Risk Event: The Secretariat function is required to adhere strictly to legislation and timetables and is also responsible for collecting fees associated with civic government licensing. There are therefore risks in ensuring this is administered accurately and timeously.</p> <p>Risk Effect: Legislation not met</p>	<p><u>The main internal controls to mitigate the identified risks are:-</u></p> <p>01 - well trained and well established staff, low turnover of Clerks in recent past</p> <p>02 - clear and well established procedures for staff to follow</p> <p>03 - assistance can be provided from business admin section to provide support cover</p> <p>04 - well established Elections procedures in accordance with statute</p>					15
CS.RR.01-29 Communications and Marketing – Divisions not acting corporately in	<p>The main risk that divisions do not act corporately in handling communication matters and follow procedures that set out a corporate approach</p>	<p><u>The main internal controls to mitigate the identified risks are:-</u></p> <p>01 - named Communications & Marketing contact(s) for each Division</p>					9


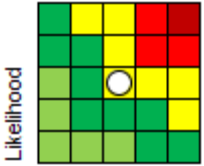

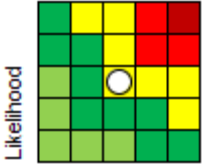
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
communications matters		02 - revised Communications Standards launched 03 - informal monitoring and highlighting issues to Divisions 04 - launch of Communications & Marketing Strategy					
CS.RR.01-31 Communications and Marketing – Maintaining good relations with media	<p>Risk Cause: Poor relationship with all strands of the media</p> <p>Risk Effect: If communications do not have a good relationship with all strands of the media it is possible that we risk reputational damage and financial damage as a consequence.</p>	<p><u>The main internal controls to mitigate the identified risks are:-</u></p> <p>01 - continue to maintain good liaison with third party/media contacts, understanding each other's requirements</p> <p>02 - endeavour to adhere to deadlines requested, where reasonable/possible, with co-operation from Divisions where necessary</p>	⚠				9
CS.RR.03 DS – Professional practice risks	<p>The main risks are (1) failing to carry out day to day tasks and (2) failing to meet data extraction and exchange timetables as a result of potential staffing, technical and other factors.</p> <p>Risk Cause: The demand for Digital Professional services outstrips available resources.</p> <p>Risk Event: Direct impact on operational Business as usual activities and project delivery timelines along with the correct blend of professional services available to deliver the projects</p>	<p>Day to day tasks</p> <p>01 - Provide breakdown of daily duties</p> <p>02 - Monitor feedback - Schools</p> <p>03 - Monitoring procedures in place</p> <p>04 - Staff training</p> <p>Data extraction and exchange</p> <p>01 - Programme agreed with SEED</p> <p>02 - Staffing in place to meet timetable</p> <p>03 - Alternative staffing in place</p>	⚠				9


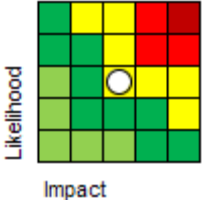

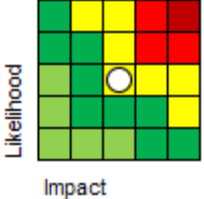

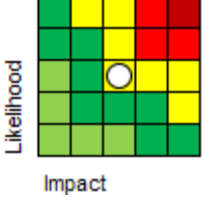
Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>Risk Effect: Failing to carry out day to day tasks and failing to meet data extraction and exchange timetables.</p>						
CS.RR.06 DS – Recovery of Service after Major Incident	<p>Risk Cause: outbreak of fire in comms room, 3rd party failure from supplier. power failure in major/minor sites, infrastructure failure (WAN), incompatibility between corporate and schools ICT systems</p> <p>Risk Event: The main risks are (1) data back up and recovery (2) application failure affecting school and central operations (3) outbreak of fire in comms room (4) cabling difficulties in schools (5) loss of major hub sites (6) failure to support online services (7) smartcard application failure affecting school operations (8) infrastructure failure (INTERCONNECT) (9) loss of minor hub sites (10) power failure in major/minor sites (11) infrastructure failure (WAN) (12) email failure (13) infrastructure failure (LAN) (14) major component failure (15) other major service failure (16) failed environmental controls (17) incompatibility between corporate and schools ICT systems and (18) hostile environment in comms room.</p>	<p>Data back up/recovery 01 - procedure 02 - information shared with staff back up security 03 - Generic IT Business Continuity Plan</p> <p>Application failure 01 - local support in place 02 - external support contract in place 03 - liaison with other education authorities</p> <p>Fire in Comms Room 01 - fire safety policy//guidance from H&S 02 - fire risk assessment 03 - fire detection equipment 04 - environmental monitoring equipment in place</p> <p>Cabling difficulties in schools 01 - TSO route planning with contractor 02 - Asbestos register alert on all appropriate orders 03 - partner working with Commercial</p> <p>Loss of Major Hub Sites 01 - Greenhall, Dalkeith Campus BC plans 02 - WAN disaster recovery plan 03 - Resilience reviews</p> <p>Online Services 01 - Quality of on-line services monitored by EO</p> <p>Smartcard</p>				 <p>Likelihood</p> <p>Impact</p>	12

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>Risk Effect: application failure affecting school and central operations</p>	<p>01 - System monitored by Education and Commercial Services 02 - Support contract in place InterConnect 01 - National SSDN contract in place 02 - 24x7 monitoring 03 - resilience Minor Hub sites 01 - WAN disaster recovery 02 - resilience Power failure - major/minor sites 01 - power supply recovery plan 02 - UPS on critical services WAN 01 - contracts with suppliers 02 - 24 x 7 monitoring 03 - resilience E-mail 01 - daily system testing, 24x7 monitoring 02 - external support contract 03 - external consultancy on best solution LAN 01 - 10x5 monitoring 02 - swap out procedure 03 - resilience Major Components 01 - support contracts 02 - staff training 03 - resilience Other Major Service Failure 01 - daily system test, 24x7 monitoring 02 - external support contract 03 - external consultancy on best solution</p>					

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		Environmental Controls 01 - Financial directive 02 - IT intranet guidance 03 - knowledge of procedures, staff and training Corporate and Education ICT 01 - regular contact 02 - standards compliance 03 - Head of It/EO monitoring Hostile environment in Comms Room 01 - environ monitoring equipment 02 - Duty Officer					
CS.RR.08 DS – Information Security and closing any immediate gaps; isolated incident that becomes high profile.	Risk Cause: unprotected sensitive information Risk Event: This is the risk of not protecting sensitive information due to inter agency working, data sharing, remote and mobile accesses. The risk is reducing as various initiatives are underway, or have been completed, but the impact of any non compliance is likely to be high. Risk Effect: Non Compliance	<u>Internal controls include:-</u> 01 - Access Controls 02 - Policies and procedures 03 - Software management 04 - Compliance with industry standards (ISO) 05 - Security and risk management reporting (inc separate risk register) 06 - Information management group & IMG Action Plan 07 - Risk Management group 08 - New Projects approved \ initiated via Digital Strategy Group \ CMT					9
CS.RR.09 DS – Compliance – Regulatory, Contractual and Legal	This is the risk of censure and includes DPA, FOI, RIPSA, Computer Misuse, Health and Safety,GSX, NHS, Police q Risk Cause: the Council has a requirement to ensure compliance with various	<u>The main internal controls are:-</u> 01 - Identify areas of poor practice 02 - Educate users with their Information Security responsibilities 03 - Undertake risk assessment of compliance					12

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>legislative and regulatory controls</p> <p>Risk Event: The failure of any of these Compliance, regulatory and Policy controls would have significant implications for the organisation</p> <p>Risk Effect: The reputational damage to the Council , the confidence of the Citizen's of Midlothian and the potential impact on other business partners which could lead to have further Financial implications for the organisation.</p>	<p>responsibilities for GSX, ViSOR, PLDN and SCRO</p> <p>04 - Policies and Guidelines exist to maintain compliance</p> <p>05 - New Projects approved \ initiated via Digital Strategy Group \ CMT</p>					
CS.RR.10 DS – Computer Business Continuity Management	<p>Computers play a major role in continuity of business and any major disruption would be crucial and jeopardise the Council's approach to the Civil Contingencies Act</p> <p>Risk Cause: Major failure or vulnerability found in any of the Councils Digital Infrastructure could create significant disruption and impact the Business</p> <p>Risk Event: The main risks are (1) data back up and recovery (2) application failure affecting school and central operations (3) outbreak of fire in comms room (4) cabling difficulties in schools (5) loss of major hub sites (6) failure to support online services (7) smartcard</p>	<p><u>The main internal controls are:-</u></p> <p>01 - List of critical business systems contained with a generic IT BC Plan</p> <p>02 - Routine of reporting IT BC into CMT and BCG</p> <p>03 - Ongoing programme of resilience</p> <p>04 - Corporate BC plan</p> <p>05 - Back ups of data and systems on an incremental and full basis.</p> <p>06 - Specific risk assessment adopted by the Audit Committee</p>					15

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
	<p>application failure affecting school operations (8) infrastructure failure (INTERCONNECT) (9) loss of minor hub sites (10) power failure in major/minor sites (11) infrastructure failure (WAN) (12) email failure (13) infrastructure failure (LAN) (14) major component failure (15) other major service failure (16) failed environmental controls (17) incompatibility between corporate and schools ICT systems and (18) hostile environment in comms room.</p> <p>Risk Effect: as above</p>						
FISS.RR.03-01 Resources – FINANCIAL to support each element of the BT-CS workstream and associated savings	This is the risk surrounding financial resources required for each individual project within the workstream	<p>The main internal controls are:</p> <p>1 - BT funding - procedure to follow to bid for additional financial resource to support business transformation 2 - PDD & scoping documentation for each project should identify resource required to facilitate the change</p>					9
FISS.RR.03-02 Staffing resource – CONTACT CENTRE to support the BT-CS workstream	This is the risk surrounding necessary contact centre development staffing resource for each element of the workstream.	<p>The main internal controls are:</p> <p>1 - Customer Services Development Officer post funded for a three year period through Business Transformation 2 - agreement to support internal 6 month secondment (and backfill) to roll out Customer Care training</p>					9

Code & Title	Risk Identification	Risk Control Measure	Risk Evaluation	Related Action	Related action latest note	Current Risk Matrix	Risk Score
		3 - agreement to supplement staffing for short period to get through phase 2 of telephony project - admin support to assist with data cleansing and phonetics work.					
FISS.RR.03-03 Staffing resource – IT to support the BT-Customer Services workstream	This is the risk surrounding necessary IT resource to fully support the BT-Customer Services workstream	The main internal controls are: 1 - approval granted for funding through BT for additional staffing resource to support Infrastructure, Development and Business Services in their respective roles to progress the main corporate Business Transformation projects e.g. mobile & flexible working and electronic document management system implementation.					9
FISS.RR.03-04 One Stop Shop development – physical location and provision	This is the risk associated with the relocation of the Contact Centre, including development of a centralised One Stop Shop, allowing co-location of all frontline services in a fully customer focused environment.	Internal controls: 1 - Property strand of the Asset Management workstream is addressing this risk.					9
FISS.RR.03-05 Clearly defined objectives, workplan and governance	This is the risk of not having clearly defined objectives set out and agreed. This leaves the potential for duplication or wasted effort on non-priority initiatives and lack of governance/commitment to achieving outcomes.						9

Corporate Services

Code	Title	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	External Comparison
		Value	Value	Value	Value	Value	Value	Value	Value	Value	
CORP3b	Corporate Indicator - The Percentage of council employees in top 5% of earners that are women (LGBF)	44.6%	41.6%	45.6%	45.3%	47.7%	44.6%	47.0%	49.0%	49.2%	18/19 Rank 27 (Bottom Quartile). 17/18 Rank 25 (Bottom Quartile). 16/17 Rank 26 (Bottom Quartile). 15/16 Rank 29 (Bottom Quartile). 14/15 Rank 25 (Bottom Quartile).
CORP3c	Corporate Indicator - The gender pay gap between average hourly rate of pay for male and female - all council employees (LGBF)	New for 2015/16					4.59%	2.97%	2.32%	3.94%	18/19 Rank 18 (Third Quartile). 17/18 Rank 14 (Second Quartile). 16/17 Rank 14 (Second Quartile). 15/16 Rank 18 (Third Quartile).
CORP6a	Corporate Indicator - Teachers Sickness Absence Days (LGBF)	4.89 days	4.79 days	5.21 days	5.25 days	5.50 days	4.17 days	4.94 days	4.59 days	5.15 days	18/19 Rank 5 (TOP Quartile). 17/18 Rank 4 (TOP Quartile). 16/17 Rank 3 (Top Quartile). 15/16 Rank 1 (TOP Quartile). 14/15 Rank 6 (Top Quartile).
CORP6b	Corporate Indicator - Local Government Employees (except teachers) sickness absence days (LGBF)	9.63 days	9.97 days	10.47 days	10.04 days	10.11 days	9.90 days	9.64 days	8.59 days	9.86 days	18/19 Rank 4 (TOP Quartile). 17/18 Rank 2 (TOP Quartile). 16/17 Rank 7 (Top Quartile). 15/16 Rank 10 (Second Quartile). 14/15 Rank 11 (Second Quartile).
CORP7	Corporate Indicator - Percentage of income due from council tax received by the end of the year % (LGBF)	93.0%	93.6%	93.2%	91.8%	93.8%	94.4%	94.5%	95.1%	95.1%	18/19 Rank 26 (Bottom Quartile). 17/18 Rank 26 (Bottom Quartile). 16/17 Rank 29 (Bottom Quartile). 15/16 Rank 29 (Bottom Quartile). 14/15 Rank 31 (Bottom Quartile).
CORP8	Corporate Indicator - Percentage of invoices sampled and paid within 30 days (LGBF)	81.2%	83.1%	93.3%	93.4%	93.0%	89.7%	87.4%	93.1%	91.1%	18/19 Rank 22 (Third Quartile). 17/18 Rank 18 (Third Quartile). 16/17 Rank 25 (Bottom Quartile). 15/16 Rank 25 (Bottom Quartile). 14/15 Rank 15 (Second Quartile).